

09-24-01

A

09/20/01  
j-c-997 U.S. PTO

Please type a plus sign (+) inside this box → ☒

PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.	Mo-6696/LeA 35,619
First Inventor	Horst Berneth
Title	Optical Date Medium Containing, ...
Express Mail Label No.	ET146893982US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☐ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 23]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ☐
- ☐ Oath or Declaration [Total Pages ☐
  - ☐ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application; see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS


- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement of Attorney (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other: .....

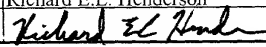
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No. _____
Prior application information		Examiner: _____	Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label		or <input type="checkbox"/> Correspondence address below
Name: 00157		
PATENT TRADEMARK OFFICE		
Address: _____		
City: _____	State: _____	Zip Code: _____
Country: _____	Telephone: _____	Fax: _____

Name (Print/Type)	Richard E.L. Henderson	Registration No. (Attorney/Agent)	31,619
Signature		Date	September 20, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

09/20/01  
j-c-997 U.S. PTO

j-c-997 U.S. PTO  
09/20/01

10966 U.S. PTO  
09/20/01

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 CFR §§ 1.27 and 1.28

TOTAL AMOUNT OF PAYMENT (\$)**710.00**

## Complete if Known

Application Number To Be Assigned  
Filing Date Herewith  
First Named Inventor Horst Berneth  
Examiner Name  
Group / Art Unit  
Attorney Docket No. Mo-6696/LeA 35,619

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **13-3884**

Deposit Account Name **Bayer Corporation**

- ☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)					
101 690	201 345				Utility filing fee	710.00
106 310	206 155				Design filing fee	
107 480	207 240				Plant filing fee	
108 690	208 345				Reissue filing fee	
114 150	214 75				Provisional filing fee	
SUBTOTAL (1) (\$)						710.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
11	-20** = 0	18	0
Independent Claims	1 - 3** = 0	80	0
Multiple Dependent			0

\*\*or number previously paid, if greater. For Reissues, see below

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description
Code (\$)	Code (\$)				
103 18	203 9				Claims in excess of 20
102 78	202 39				Independent claims in excess of 3
104 260	204 130				Multiple dependent claim, if not paid
109 78	209 39				** Reissue independent claims over original patent
110 18	210 9				** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**0.00**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)					
105 130	205 65				Surcharge - late filing fee or oath	
127 50	227 25				Surcharge - late provisional filing fee or cover sheet.	
139 130	139 130				Non-English specification	
147 2,520	147 2,520				For filing a request for reexamination	
112 920*	112 920*				Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*				Requesting publication of SIR after Examiner action	
115 110	215 55				Extension for reply within first month	
116 380	216 190				Extension for reply within second month	
117 670	217 435				Extension for reply within third month	
118 1,360	218 680				Extension for reply within fourth month	
128 1,850	228 925				Extension for reply within fifth month	
119 300	219 150				Notice of Appeal	
120 300	220 150				Filing a brief in support of an appeal	
121 260	221 130				Request for oral hearing	
138 1,510	138 1,510				Petition to institute a public use proceeding	
140 110	240 55				Petition to revive - unavoidable	
141 1,210	241 605				Petition to revive - unintentional	
142 1,210	242 605				Utility issue fee (or reissue)	
143 430	243 215				Design issue fee	
144 580	244 290				Plant issue fee	
122 130	122 130				Petitions to the Commissioner	
123 50	123 50				Petitions related to provisional applications	
126 240	126 240				Submission of Information Disclosure Stmt	
581 40	581 40				Recording each patent assignment per property (times number of properties)	
145 690	246 345				Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345				For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify)						
Other fee (specify)						
SUBTOTAL (3) (\$)						0.00

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type) **Richard E.L. Henderson**  
Signature *Richard E.L. Henderson*

Registration No (Attorney/Agent) **31,619**

## Complete (if applicable)

Telephone **412-777-8341**  
Date **Sept. 20, 2001**

## WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.